

#4

PATENT

Customer No. 22,852

Attorney Docket No. 7451.0006-05

InterTrust Ref. No.: IT-53 (US)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Karl L. Ginter, et al.

Application No.: 10/027,986

Filed: December 21, 2001

For: SYSTEMS AND METHODS FOR
SECURE TRANSACTION
MANAGEMENT AND ELECTRONIC
RIGHTS PROTECTION

Commissioner for Patents
Washington, DC 20231

Group Art Unit: 2161

Examiner: Not Yet Assigned

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Sir:

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97(b)

Pursuant to 37 C.F.R. §§ 1.56 and 1.97(b), Applicants bring to the attention of the Examiner the documents listed on the attached PTO 1449. To the best of our knowledge, this Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits for the above-referenced application. Copies of the listed documents were previously submitted in a prior application, Application No. 09/272,998, filing date March 19, 1999, upon which Applicants rely for the benefits provided in 35 U.S.C. § 120.

Applicants respectfully request that the Examiner consider the listed documents and indicate that they were considered by making appropriate notations on the attached form.

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This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that each or all of the listed documents are material or constitute "prior art." If the Examiner applies any of the documents as prior art against any claim in the application and Applicants determine that the cited documents do not constitute "prior art" under United States law, Applicants reserve the right to present to the office the relevant facts and law regarding the appropriate status of such documents.

Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be applied against the claims of the present application.

If there is any fee due in connection with the filing of this Statement, please charge the fee to our Deposit Account No. 06-0916.

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,
GARRETT & DUNNER, L.L.P.

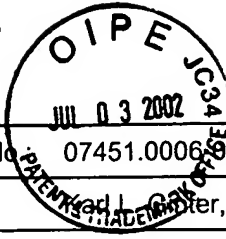
Dated: July 2, 2002

By: 

Karna J. Nisewaner
Reg. No. 50,665

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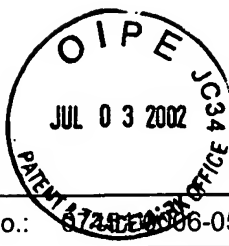
OMB No. 0651-0011

Atty. Docket No. 07451.000695000	Serial No.: 10/027,986
Applicants: Adams et al.	Examiner: Not Yet Assigned
Filing Date: December 21, 2001	Group: 2161

Examiner Initial*	Document Number	Issue Date	Name	Class	Sub Class	Filing Date If Appropriate
	3,573,747	04/71	Adams et al.			
	3,609,697	09/71	Blevins			
	3,796,830	03/74	Smith			
	3,798,359	03/74	Feistel			
	3,798,360	03/74	Feistel			
	3,798,605	03/74	Feistel			
	3,806,882	04/74	Clarke			
	3,829,833	08/74	Freeny			
	3,906,448	09/75	Henriques			
	3,911,397	10/75	Freeny			
	3,924,065	12/75	Freeny			
	3,931,504	01/76	Jacoby			
	3,946,220	03/76	Brobeck et al.			
	3,956,615	05/76	Anderson et al.			
	3,958,081	05/76	Ehram et al.			
	3,970,992	07/76	Boothroyd et al.			
	4,048,619	09/77	Forman et al.			
	4,071,911	01/78	Mazur			
	4,112,421	09/78	Freeny			
	4,120,030	10/78	Johnstone			
	4,163,280	07/79	Mori et al.			
	4,168,396	09/79	Best			
	4,196,310	04/80	Forman et al.			
	4,200,913	04/80	Kuhar et al.			
	4,209,787	06/80	Freeny			
	4,217,588	08/80	Freeny			
	4,220,991	09/80	Hamano et al.			
	4,232,193	11/80	Gerard			
	4,232,317	11/80	Freeny			

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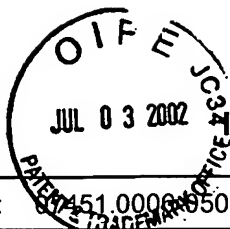
INFORMATION DISCLOSURE CITATION

Atty. Docket No.: 67257-0006-05000	Serial No.: 10/027,986
Applicants: Karl L. Ginter, et al.	Examiner: Not Yet Assigned
Filing Date: December 21, 2001	Group: 2161

Examiner Initial*	Document Number	Issue Date	Name	Class	Sub Class	Filing Date If Appr priate
	4,236,217	11/80	Kennedy			
	4,253,157	02/81	Kirschner et al.			
	4,262,329	04/81	Bright et al.			
	4,265,371	05/81	Desai et al.			
	4,270,182	05/81	Asija			
	4,278,837	07/81	Best			
	4,305,131	12/81	Best			
	4,306,289	12/81	Lumley			
	4,309,569	01/82	Merkle			
	4,319,079	03/82	Best			
	4,323,921	04/82	Guillou			
	4,328,544	05/82	Baldwin et al.			
	4,337,483	06/82	Guillou			
	4,361,877	11/82	Dyer et al.			
	4,375,579	03/83	Davida et al.			
	4,433,207	02/84	Best			
	4,434,464	02/84	Suzuki et al.			
	4,442,486	04/84	Mayer			
	4,446,519	05/84	Thomas			
	4,454,594	06/84	Heffron et al.			
	4,458,315	07/84	Uchenick			
	4,462,076	07/84	Smith			
	4,462,078	07/84	Ross			
	4,465,901	08/84	Best			
	4,471,163	09/84	Donald et al.			
	4,484,217	11/84	Block et al.			
	4,494,156	01/85	Kadison et al.			
	4,513,174	04/85	Herman			
	4,528,588	07/85	Lofberg			

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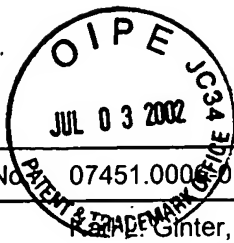
INFORMATION DISCLOSURE CITATION

Atty. Docket No.:	87-451,000-05000	Serial No.:	10/027,986
Applicants:	Karl L. Ginter, et al.	Examiner:	Not Yet Assigned
Filing Date:	December 21, 2001	Group:	2161

Examiner Initial*	Document Number	Issue Date	Name	Class	Sub Class	Filing Date If Appr priat
	4,528,643	07/85	Freeny			
	4,553,252	11/85	Egendorf			
	4,558,176	12/85	Arnold et al.			
	4,558,413	12/85	Schmidt et al.			
	4,562,306	12/85	Chou et al.			
	4,562,495	12/85	Bond et al.			
	4,577,289	03/86	Comerford et al.			
	4,584,641	04/86	Guglielmino			
	4,588,991	05/86	Atalla			
	4,589,064	05/86	Chiba et al.			
	4,593,353	06/86	Pickholtz			
	4,593,376	06/86	Volk			
	4,595,950	06/86	Lofberg			
	4,597,058	06/86	Izumi et al.			
	4,634,807	01/87	Chorley et al.			
	4,644,493	02/87	Chandra et al.			
	4,646,234	02/87	Tolman et al.			
	4,652,990	03/87	Pailen et al.			
	4,658,093	04/87	Hellman			
	4,670,857	06/87	Rackman			
	4,672,572	06/87	Alsberg			
	4,677,434	06/87	Fascenda			
	4,680,731	07/87	Izumi et al.			
	4,683,553	07/87	Mollier			
	4,685,056	08/87	Barnsdale et al.			
	4,688,169	08/87	Joshi			
	4,691,350	09/87	Kleijne et al.			
	4,696,034	09/87	Wiedemer			
	4,701,846	10/87	Ikeda et al.			

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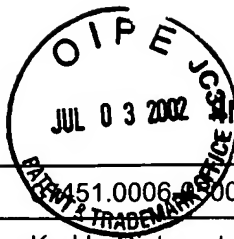
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INFORMATION DISCLOSURE CITATION

Atty. Docket No. 07451.000605000	Serial No.: 10/027,986
Applicants: Karp, Ginter, et al.	Examiner: Not Yet Assigned
Filing Date: December 21, 2001	Group: 2161

Examiner Initial*	Document Number	Issue Date	Name	Class	Sub Class	Filing Date If Appropriate
	4,712,238	12/87	Gilhausen et al.			
	4,713,753	12/87	Boebert et al.			
	4,740,890	04/88	William			
	4,747,139	05/88	Taaffe			
	4,757,533	07/88	Allen et al.			
	4,757,534	07/88	Matyas et al.			
	4,768,087	08/88	Taub et al.			
	4,791,565	12/88	Dunham et al.			
	4,796,181	01/89	Wiedemer			
	4,799,156	01/89	Shavit			
	4,807,288	02/89	Ugon et al.			
	4,817,140	03/89	Chandra et al.			
	4,823,264	04/89	Deming			
	4,827,508	05/89	Shear			
	4,858,121	08/89	Barber et al.			
	4,864,494	09/89	Kobus			
	4,868,877	09/89	Fischer			
	4,903,296	02/90	Chandra et al.			
	4,924,378	05/90	Hershey et al.			
	4,930,073	05/90	Cina			
	4,949,187	08/90	Cohen			
	4,977,594	12/90	Shear			
	4,999,806	03/91	Chernow et al.			
	5,001,752	03/91	Fischer			
	5,005,122	04/91	Griffin et al.			
	5,005,200	04/91	Fischer			
	5,010,571	04/91	Katznelson			
	5,023,907	06/91	Johnson et al.			
	5,047,928	09/91	Wiedemer			



INFORMATION DISCLOSURE CITATION

Atty. Docket No.:	5,451,000-9,000	Serial No.:	10/27,986
Applicants:	Karl L. Ginter, et al.	Examiner:	Not Yet Assigned
Filing Date:	December 21, 2001	Group:	2161

Examiner Initial*	Document Number	Issue Date	Name	Class	Sub Class	Filing Date If Appropriate
	5,048,085	09/91	Abraham et al.			
	5,050,213	09/91	Shear			
	5,091,966	02/92	Bloomberg et al.			
	5,103,392	04/92	Mori			
	5,103,476	04/92	Waite et al.			
	5,111,390	05/92	Ketcham			
	5,119,493	06/92	Janis et al.			
	5,128,525	07/92	Stearns et al.			
	5,136,643	08/92	Fischer			
	5,136,646	08/92	Haber et al.			
	5,136,647	08/92	Haber et al.			
	5,136,716	08/92	Harvey et al.			
	5,146,575	09/92	Nolan			
	5,148,481	09/92	Abraham et al.			
	5,155,680	10/92	Wiedemer			
	5,163,091	11/92	Graziano			
	5,168,147	12/92	Bloomberg			
	5,185,717	02/93	Mori			
	5,187,787	02/93	Skeen et al.			
	5,201,046	04/93	Goldberg et al.			
	5,201,047	04/93	Maki et al.			
	5,208,748	05/93	Flores et al.			
	5,214,702	05/93	Fischer			
	5,216,603	06/93	Flores et al.			
	5,221,833	06/93	Hecht			
	5,222,134	06/93	Waite et al.			
	5,224,160	06/93	Paulini et al.			
	5,224,163	06/93	Gasser et al.			
	5,235,642	08/93	Wobber et al.			

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OMB No. 0651-0011

INFORMATION DISCLOSURE CITATION

Atty. Docket No.: 074510006-05000	Serial No.: 10/027,986
Applicants: Karl L. Ginter, et al.	Examiner: Not Yet Assigned
Filing Date: December 21, 2001	Group: 2161

Examiner Initial*	Document Number	Issue Date	Name	Class	Sub Class	Filing Date If Appropriate
	5,245,165	09/93	Zhang			
	5,247,575	09/93	Sprague et al.			
	5,257,369	10/93	Skeen et al.			
	5,260,999	11/93	Wyman			
	5,263,158	11/93	Janis			
	5,265,164	11/93	Matyas et al.			
	5,276,735	01/94	Boebert et al.			
	5,280,479	01/94	Mary			
	5,285,494	02/94	Sprecher et al.			
	5,301,231	04/94	Abraham et al.			
	5,311,591	05/94	Fischer			
	5,319,705	06/94	Halter et al.			
	5,319,785	06/94	Halter et al.			
	5,337,360	08/94	Fischer			
	5,341,429	08/94	Stringer et al.			
	5,343,527	08/94	Moore et al.			
	5,347,579	09/94	Blandford			
	5,351,293	09/94	Michener et al.			
	5,355,474	11/94	Thurasingham et al.			
	5,373,561	12/94	Haber et al.			
	5,388,211	02/95	Hornbuckle			
	5,390,247	02/95	Fischer			
	5,390,330	02/95	Talati			
	5,392,220	02/95	Van den Hamer et al.			
	5,392,390	02/95	Crozier			
	5,394,469	02/95	Nagel et al.			
	5,410,598	04/95	Shear			
	5,412,717	05/95	Fischer			
	5,421,006	05/95	Jablon			

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OMB No. 0651-0011

INFORMATION DISCLOSURE CITATION

Atty. Docket No.: 07481606-05000	Serial No.: 10/027,986
Applicants: Karl L. Ginter, et al.	Examiner: Not Yet Assigned
Filing Date: December 21, 2001	Group: 2161

Examiner Initial*	Document Number	Issue Date	Name	Class	Sub Class	Filing Date If Appropriate
	5,422,953	06/95	Fischer			
	5,428,606	06/95	Moskowitz			
	5,432,950	07/95	Sibigroth			
	5,438,508	08/95	Wyman			
	5,442,645	08/95	Ugon			
	5,444,779	08/95	Daniele			
	5,449,895	09/95	Hecht et al.			
	5,449,896	09/95	Hecht et al.			
	5,450,493	09/95	Maher			
	5,453,601	09/95	Rosen			
	5,453,605	09/95	Hecht et al.			
	5,455,407	10/95	Rosen			
	5,455,861	10/95	Faucher et al.			
	5,455,953	10/95	Russell			
	5,457,746	10/95	Dolphin			
	5,463,565	10/95	Cookson et al.			
	5,473,687	12/95	Lipscomb et al.			
	5,473,692	12/95	Davis			
	5,479,509	12/95	Ugon			
	5,485,622	01/96	Yamaki			
	5,491,800	02/96	Goldsmith et al.			
	5,497,479	03/96	Hombuckle			
	5,497,491	03/96	Mitchell et al.			
	5,499,298	03/96	Narasimhalu et al.			
	5,504,757	04/96	Cook et al.			
	5,504,818	04/96	Okano			
	5,504,837	04/96	Griffeth et al.			
	5,508,913	04/96	Yamamoto et al.			
	5,509,070	05/96	Schull			

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Atty. Docket No.: 07451.0006-05000	Serial No.: 10/027,986
Applicants: Karl L. Ginter, et al.	Examiner: Not Yet Assigned
Filing Date: December 21, 2001	Group: 2161

Examiner Initial*	Document Number	Issue Date	Name	Class	Sub Class	Filing Date If Appr priate
	5,513,261	04/96	Maher			
	5,530,235	06/96	Stefik et al.			
	5,530,752	06/96	Rubin			
	5,533,123	07/96	Force et al.			
	5,534,975	07/96	Stefik et al.			
	5,537,526	07/96	Anderson et al.			
	5,539,735	07/96	Moskowitz			
	5,539,828	07/96	Davis			
	5,550,971	08/96	Brunner et al.			
	5,553,282	09/96	Parrish et al.			
	5,557,518	09/96	Rosen			
	5,557,798	09/96	Skeen et al.			
	5,563,946	10/96	Cooper et al.			
	5,568,552	10/96	Davis			
	5,572,673	11/96	Shurts			
	5,592,549	01/97	Nagel et al.			
	5,606,609	02/97	Houser et al.			
	5,613,004	03/97	Cooperman et al.			
	5,621,797	04/97	Rosen			
	5,629,980	05/97	Stefik et al.			
	5,633,932	05/97	Davis et al.			
	5,634,012	05/97	Stefik et al.			
	5,636,276	06/97	Brugger et al.			
	5,636,292	06/97	Rhoads			
	5,638,443	06/97	Stefik			
	5,638,504	06/97	Scott et al.			
	5,640,546	06/97	Gopinath et al.			
	5,655,077	08/97	Jones et al.			
	5,687,236	11/97	Moskowitz et al.			

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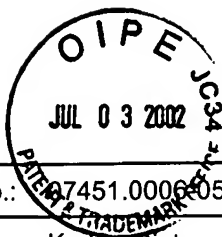
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Examiner Initial*	Document Number	Issue Date	Name	Class	Sub Class	Filing Date If Appropriate
	5,689,587	11/97	Bender et al.			
	5,692,180	11/97	Lee			
	5,710,834	01/98	Rhoads			
	5,717,923	02/98	Dedrick			
	5,724,425	03/98	Chang			
	5,740,549	04/98	Reilly et al.			
	5,745,604	04/98	Rhoads			
	5,745,569	04/98	Moskowitz et al.			
	5,748,763	05/98	Rhoads			
	5,748,783	05/98	Rhoads			
	5,748,960	05/98	Fischer			
	5,754,849	05/98	Dyer et al.			
	5,757,914	05/98	McManis			
	5,758,152	05/98	LeToumeau			
	5,765,152	01/98	Erickson			
	5,768,426	06/98	Rhoads			
	5,819,263	10/98	Bromley et al.			
	5,842,173	11/98	Strum et al.			
	5,892,900	04/99	Ginter et al.			
	5,896,454	04/99	Cookson et al.			
	5,910, 987	06/99	Ginter et al.			
	5,915,019	06/99	Ginter et al.			
	5,917,912	06/99	Ginter et al.			
	5,920,861	07/99	Hall et al.			
	5,940,504	08/99	Griswold			
	5,940,505	08/99	Kanamaru			
	5,943,422	08/99	Van Wie et al.			
	5,949,876	09/99	Ginter et al.			
	5,982,891	11/99	Ginter et al.			

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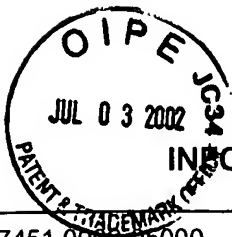
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OMB No. 0651-0011

INFORMATION DISCLOSURE CITATION

Atty. Docket No.: 07451.0000-05000	Serial No.: 10/027,986
Applicants: Karl L. Ginter, et al.	Examiner: Not Yet Assigned
Filing Date: December 21, 2001	Group: 2161

Examiner Initial*	Document Number	Issue Date	Name	Class	Sub Class	Filing Date If Appropriate
	6,009,170	12/99	Sako et al.			
	6,112,181	08/00	Shear et al.			
	6,138,119	10/00	Hall et al.			
	6,157,721	12/00	Shear et al.			
	6,185,683	02/01	Ginter et al.			
	6,237,786	05/01	Ginter et al.			
	6,240,185	05/01	Van Wie et al.			
	6,253,193	06/01	Ginter et al.			
	6,292,569	09/01	Shear et al.			

Examiner Initial*	Document Number	Publication Date	Country	Class	Sub Class	Translation Yes or No
	57-726	05/82	Japan			
	62-225059	08/87	Japan			
	62-241061	10/87	Japan			
	64-68835	03/89	Japan			
	01-068835	03/89	Japan			
	02-242352	09/90	Japan			
	02-247763	10/90	Japan			
	02-294855	12/90	Japan			
	04-369068	12/92	Japan			
	05-181734	07/93	Japan			
	05-257783	10/93	Japan			
	05-268415	10/93	Japan			
	06-175794	06/94	Japan			
	06-215010	08/94	Japan			
	06-225059	08/94	Japan			
	07-056794	03/95	Japan			
	07-084852	03/95	Japan			
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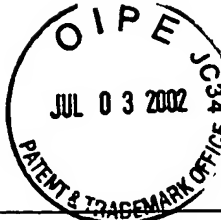
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Applicants: Karl L. Ginter, et al.	Examiner: Not Yet Assigned
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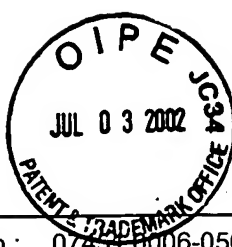
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Atty. Docket No.: 07451-0006-05000	Serial No.: 10/027,986
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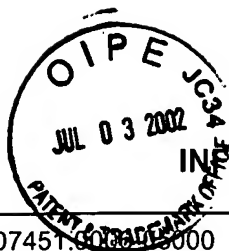


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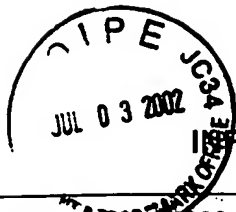


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